

PERFORMANCE MEASURES FOR THE RECORDS MANAGEMENT PROGRAM

1. TRAINING AND AWARENESS.

Criteria.

Implement an effective Records Management training program that provides DOE and contractor employees with the information needed to fulfill their records management responsibilities (as outlined in 36 CFR Chapter 12, Subchapter B). Promote activities that further records awareness and prevent the loss, removal and unauthorized destruction of Federal records.

Performance Measure: Number of individuals made aware of their records responsibilities.

Gradient

a Meets Expectations:

Designate Records Managers and Records Liaisons, provide them with Records Management training, and ensure that appointments and training remain current. Duties include assisting staff members with their records management responsibilities. Promote records awareness through cleanup campaigns

b Exceeds Expectations:

Item a. above plus Provide training annually on Records Management regulations and responsibilities to all staff members; routinely brief Managers on records responsibilities and concerns; and conduct office-wide awareness projects using posters, pamphlets and other PR methods. Incorporate Records Management into personnel exit procedures to ensure that records are not removed illegally from the Department.

c Far Exceeds Expectations:

Items a. and b. above plus: Develop options for cost effective and innovative implementation and register zero occurrence of records loss or unauthorized removal.

2 RECORDS CREATION.

Criteria

Identify requirements that originate in laws, regulations, directives, standards, and other types of

guidance and reporting or collection instruments that address the creation and maintenance of records. Maintain a listing of recordkeeping requirements for each major organizational entity and establish the types of records needed to adequately meet the requirements. These records shall reflect the adequate and proper documentation of organization, function, and activities of all offices at all levels for all records media.

Performance Measure: Comprehensive listing of recordkeeping requirements.

Gradient:

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| a. Meets Expectations: | Review directives and other guidance documents for recordkeeping requirements as they are issued. |
| b. Exceeds Expectations: | Institute a formal process to identify recordkeeping requirements as regulations, directives and other guidance documents are developed, issued or received. Set standards for adequate documentation and maintain a database of recordkeeping requirements. |
| c. Far Exceeds Expectations: | Item b. above plus: Include an annual review of recordkeeping requirements as part of the budget preparation and approval cycle. Update the requirements database to reflect changes in Departmental programs. Brief Staff members to ensure compliance. |

3. RECORDS INVENTORY.

Criteria:

Conduct a formal inventory of all active and inactive Federal, contractor and subcontractor records. The inventory will identify each records series as well as any nonrecord materials. Inventory data shall include a description of the informational content and use of the records, type of media, volume, inclusive dates, records custodian and physical location.

Performance Measure: Up-to-date inventory of active and inactive records.

Gradient:

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| a. Meets Expectations: | Conducts a formal records inventory every three-to-five years. |
| b. Exceeds Expectations: | Conducts a formal records inventory at least every three years and provides for annual |

updates of existing data.

c. Far Exceeds Expectations:

Item b. above plus: Maintains record series information and other inventory data in an automated system that can be easily accessed.

4. APPLICATION OF DISPOSITION SCHEDULES.

Criteria:

Approved disposition schedules shall be applied to records in a timely and efficient manner. Records will be destroyed or sent to Federal Records Centers (FRCs) (or other acceptable inactive storage space) as retention and disposition instructions warrant. Record series without approved retention periods shall be identified and draft disposition instructions developed.

Performance Measure: Volume of records destroyed and inactive records retired;
Records disposition schedules drafted .

Gradient:

a. Meets Expectations:

Disposition instructions are applied to records annually. Inactive records are removed from office space and unscheduled records are identified and targeted for followup as time permits. Record shipments are made to FRCs when space is no longer available.

b. Exceeds Expectations:

Record schedules are applied throughout the year as time and manpower permit, but no less than semi-annually. Records are not kept in office space longer than six months after becoming inactive and draft SF-115's are prepared immediately upon identification of unscheduled records. Records are shipped to an FRC at least once a year.

c. Far Exceeds Expectations:

Record schedules are applied routinely as records become inactive. Inactive records are removed regularly from office space and all records series have been identified and scheduled. Records are shipped to an FRC via routine procedure and timetable.

5. STORAGE, MAINTENANCE AND TRANSFER.

Criteria:

To ensure records preservation, space shall be used that meets Federal regulation for safe, efficient, and economical records storage. Long-term storage shall be accomplished through the use of low-cost facilities such as Federal Record Centers or their equivalent. Local records holding areas shall be maintained in a manner that ensures timely retrieval and delivery to customers, and shipments of records to Federal Records Centers shall be accomplished in an efficient manner.

Performance Measure: Use of Federal Records Centers or equivalent low-cost storage.

Gradient:

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| a. Meets Expectations: | Space and manpower are made available to store and manage inactive records; 90% of the requests for inactive records are filled in a timely manner and 90% of the shipments to FRCs are accepted. |
| b. Exceeds Expectations: | Records storage space that meets Federal regulation is made available; 95% of requests for inactive records are filled in a timely manner and 95% of the shipments to FRCs are accepted. |
| c. Far Exceeds Expectations: | Records storage space that meets Federal regulation and Quality Assurance Standards is made available; 99% of the requests for inactive records are filled in a timely manner and 99% of the shipments to FRCs are accepted. |

6. SELF-ASSESSMENT AND CUSTOMER SATISFACTION.

Criteria.

Self-assessments shall be performed regularly to evaluate the efficiency and effectiveness of management and operational practices for the Records Management Program. Evaluations shall provide meaningful data to improve processes and strategies; produce cost savings, cost avoidances, and efficiencies; and improve customer satisfaction.

Performance Measure: Program improvements.

Gradient:

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| a. Meets Expectations: | Demonstrates that self-assessments are planned, executed and input is provided. |
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b. Exceeds Expectations:

Item a. above plus: Demonstrates that corrective actions, when identified, are accomplished in a timely and effective manner.

c. Far Exceeds Expectations:

Items a. and b. above plus: Results of previous customer satisfaction activities are used as baselines and enhancements and improvements are made to the process by which customer input is acquired. Customer involvement is evidenced in all stages of the self-assessment process.